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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.	
10/014,189	11/13/2001	Srinivas Gutta	US010576	3037	
24737 7	7590 10/13/2006		EXAMINER		
PHILIPS INTELLECTUAL PROPERTY & STANDARDS			JARRETT,	JARRETT, SCOTT L	
P.O. BOX 3001 BRIARCLIFF MANOR, NY 10510		ART UNIT	PAPER NUMBER		
			3623		
		DATE MAILED: 10/13/2006			

Please find below and/or attached an Office communication concerning this application or proceeding.

· · · · · · · · · · · · · · · · · · ·		Application No.	Applicant(s)		
Office Action Summary		10/014,189	GUTTA ET AL.		
		Examiner	Art Unit		
		Scott L. Jarrett	3623		
	The MAILING DATE of this communication app or Reply	pears on the cover sheet with the c	orrespondence address		
A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.  - Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.  - If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.  - Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).  Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).					
Status					
2a)⊠	Responsive to communication(s) filed on <u>13 Air</u> This action is <b>FINAL</b> . 2b) This Since this application is in condition for allowar closed in accordance with the practice under E	action is non-final.  nce except for formal matters, pro			
Dispositi	on of Claims				
5)□ 6)⊠ 7)□	Claim(s) 1-23 is/are pending in the application.  4a) Of the above claim(s) is/are withdray.  Claim(s) is/are allowed.  Claim(s) 1-23 is/are rejected.  Claim(s) is/are objected to.  Claim(s) are subject to restriction and/o	wn from consideration.			
Applicati	on Papers				
9) The specification is objected to by the Examiner.  10) The drawing(s) filed on is/are: a) accepted or b) objected to by the Examiner.  Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).  11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.					
Priority u	ınder 35 U.S.C. § 119				
12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  a) All b) Some * c) None of:  1. Certified copies of the priority documents have been received.  2. Certified copies of the priority documents have been received in Application No  3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  * See the attached detailed Office action for a list of the certified copies not received.					
2) Notice 3) Information	t(s) te of References Cited (PTO-892) te of Draftsperson's Patent Drawing Review (PTO-948) mation Disclosure Statement(s) (PTO/SB/08) tr No(s)/Mail Date	4) Interview Summary Paper No(s)/Mail Da 5) Notice of Informal P 6) Other:	ate		

#### **DETAILED ACTION**

1. This **Final** Office Action is responsive to Applicant's amendment filed August 13, 2006. Applicant's amendment amended claims 1-23. Current Claims 1-23 are pending.

### Response to Amendment

2. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action.

The Objection to the Abstract is withdrawn in response to Applicant's amendment to the Abstract.

The Objection to the Title is withdrawn in response to Applicant's amendment to the Title.

# Response to Arguments

3. Applicant's arguments with respect to claims 1-23 have been considered but are moot in view of the new ground(s) of rejection.

It is noted that the applicant did not challenge the officially noticed facts cited in the previous office action(s) therefore those statement(s) as presented are herein after prior art. Specifically it has been established that it was old and well known in the art at the time of the invention:

- to classify/identify items such as television programs, content and/or products using of well-known pattern-recognition methods including but

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not limited to: value difference measures/metrics, nearest-neighbor, classifiers, similarity/instance-based methods, lazy learning, or the like; wherein these methods/systems are utilized for things such as recommending items to users; and to automate manual methods.

# Claim Rejections - 35 USC § 101

4. 35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

5. Claims 1-23 are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter.

Regarding Claims 1-23, a claimed invention to be statutory, the claimed invention must produce a useful, concrete, and tangible result.

In the present case, the method for identifying one or more mean items merely computes one or more mathematical values (variances, distances, differences), selects symbolic values for one or more symbolic attributes of items (item features/characteristics) and groups (organizes, clusters) items based on the mathematical values/symbolic attributes/values, while the compilation of data may have some have some real world value (i.e. utility/usefulness) there is no requisite functionality present to satisfy the practical application requirement nor are there any "acts" which transform the data and/or cause a physical transformation to occur outside the computer (i.e. not concrete or tangible) therefore the invention as claimed does not produce a useful, concrete, and tangible result.

Merely claiming nonfunctional descriptive material, i.e., abstract ideas, stored in a computer-readable medium, in a computer, on an electromagnetic carrier signal does not make it statutory. See Diamond v. Diehr, 450 U.S. 175, 185-86, 209 USPQ 1, 7-8 (1981) (noting that the claims for an algorithm in Benson were unpatentable as abstract

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ideas because "[t]he sole practical application of the algorithm was in connection with the programming of a general purpose computer."). Such a result would exalt form over substance. In re Sarkar, 588 F.2d 1330, 1333, 200 USPQ 132, 137 (CCPA 1978) ("[E]ach invention must be evaluated as claimed; yet semantogenic considerations preclude a determination based solely on words appearing in the claims. In the final analysis under 101, the claimed invention, as a whole, must be evaluated for what it is.") (Abele, 684 F.2d 902, 907, 214 USPQ 682, 687(CCPA 1982)). See also In re Johnson, 589 F.2d 1070, 1077, 200 USPQ 199, 206 (CCPA 1978) ("form of the claim is often an exercise in drafting"). Thus, nonstatutory music is not a computer component and it does not become statutory by merely recording it on a compact disk. Protection for this type of work is provided under copyright law.

A useful, concrete and tangible result, for example, might be achieved through the utilization of the grouped/cluster items to recommend television programs to users, a real-world/actual effect.

#### **Double Patenting**

6. Claims 1 and 10 of this application conflict with claims 6 and 15 of Application No. 10/014180. 37 CFR 1.78(b) provides that when two or more applications filed by the same applicant contain conflicting claims, elimination of such claims from all but one application may be required in the absence of good and sufficient reason for their retention during pendency in more than one application. Applicant is required to either cancel the conflicting claims from all but one application or maintain a clear line of demarcation between the applications. See MPEP § 822.

Claims 1-23 of this application conflict with claims 1-20 of Application No. 10/014,192. 37 CFR 1.78(b) provides that when two or more applications filed by the same applicant contain conflicting claims, elimination of such claims from all but one application may be required in the absence of good and sufficient reason for their retention during pendency in more than one application. Applicant is required to either cancel the conflicting claims from all but one application or maintain a clear line of demarcation between the applications. See MPEP § 822.

Claims 1, 10, 16 and 22 of this application conflict with claims 10 and 17 of Application No. 10/183,762. 37 CFR 1.78(b) provides that when two or more applications filed by the same applicant contain conflicting claims, elimination of such claims from all but one application may be required in the absence of good and sufficient reason for their retention during pendency in more than one application.

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Applicant is required to either cancel the conflicting claims from all but one application or maintain a clear line of demarcation between the applications. See MPEP § 822.

A rejection based on double patenting of the "same invention" type finds its support in the language of 35 U.S.C. 101 which states that "whoever invents or discovers any new and useful process ... may obtain <u>a</u> patent therefor ..." (Emphasis added). Thus, the term "same invention," in this context, means an invention drawn to identical subject matter. See *Miller v. Eagle Mfg. Co.*, 151 U.S. 186 (1894); *In re Ockert*, 245 F.2d 467, 114 USPQ 330 (CCPA 1957); and *In re Vogel*, 422 F.2d 438, 164 USPQ 619 (CCPA 1970).

A statutory type (35 U.S.C. 101) double patenting rejection can be overcome by canceling or amending the conflicting claims so they are no longer coextensive in scope. The filing of a terminal disclaimer <u>cannot</u> overcome a double patenting rejection based upon 35 U.S.C. 101.

Claims 1, 10, 16 and 22-23 rejected under 35 U.S.C. 101 as claiming the same invention as that of claims 11, 27 and 28 of prior U.S. Patent No. 6,801,917. This is a double patenting rejection.

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# Claim Rejections - 35 USC § 103

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

- (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.
- 8. Claims 1-23 are rejected under 35 U.S.C. 103(a) as being unpatentable over Datta et al., Symbolic Nearest Mean Classifiers (AAAI 1997) in view of Datta et al., Learning Symbolic Prototypes (ICML 1997; Datta/Kibler, as cited in the PTO-892 form mailed March 13, 2006).

Regarding Claims 1 and 10 Datta et al. teach a method for partitioning (identifying, segmenting, characterizing, classifying, categorizing, etc.) one or more mean items for a plurality of items, J, each of the items having at least one symbolic (categorical, non-metric, non-numeric, Boolean, binary, etc.) attribute (feature, characteristic, etc.), each symbolic attribute having at least one possible value and further comprising:

- computing (determining, calculating, etc.) a variance (distance, difference, etc.) of the plurality of items, J, for each of the possible symbolic values, x<sub>u</sub>, for each of the symbolic attributes ("Distances between Symbolic Attribute Values", Columns 2-3, Page 2);

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- selecting for each of the symbolic attributes (item features/characteristics) at least one symbolic value,  $x_u$ , that minimizes the variance as the mean symbolic value ("The Mean of Symbolic Attributes", Column 2, Page 2); and

- wherein for at least one cluster a given symbolic attribute has more than one value (Column 1, Last Paragraph, Page 2; "The Mean of Symbolic Attributes", Column 2, Page 2).

Datta et al. does not expressly teach that for at least one cluster a given symbolic attribute has more than one value such that more than one mean symbolic value is determined for the symbolic attribute as claimed.

Datta/Kibler teach that for at least one cluster a given symbolic attribute has more than one value such that more than one mean symbolic value is determined for the symbolic attribute (determining a mean for each symbolic attribute creating a prototype for the cluster/class/group; Last Paragraph, Page 3; Paragraphs 1-3, Page 4; i.e. "represent a cluster by only one program, but rather, multiple programs the represent the mean or multiple means may be employed to represent the cluster. Thus, in a further variation, a cluster may be represented by multiple means or multiple feature values for each possible feature.", Paragraph 0052 of the published application, U.S. 2003/0097186) in an analogous art of partitioning a plurality of items into clusters utilizing one or more mean items for the purposes of learning more than one prototype

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for each class (cluster, group, category, etc.; Paragraph 2, Page 2) and/or determining a "more robust" distance measures between symbolic values (Paragraph 2, Page 4).

It would have been obvious to one skilled in the art at the time of the invention that the method for partitioning a plurality of items into clusters by identifying one or more mean items for a plurality of items having at least one symbolic value as taught by Datta et al. would have benefited from utilizing more than one value for a symbolic attribute such that more than one mean symbolic value is determined for the symbolic attribute in view of the teachings of Datta/Kibler; the resultant method purposes of learning more than one prototype for each class (cluster, group, category, etc.; Datta/Kibler: Paragraph 2, Page 2) and/or determining a "more robust" distance measures between symbolic values (Datta/Kibler: Paragraph 2, Page 4).

Regarding Claims 2 and 11 Datta et al. teach a method for identifying one or more mean items wherein the mean symbolic value for each symbolic attribute comprises a mean of the plurality of items ("The Mean of Symbolic Attributes", Column 2, Page 2).

Regarding Claims 3 and 14 Datta et al. teach a method for identifying one or more mean items wherein the symbolic attributes comprises one or more hypothetical items (tentative, potential, probable, projected, sample, test, example, training, etc.; Column 2, Paragraph 1, Page 2; "Learning Multiple Prototypes", Column 1, Page 4).

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Regarding Claims 4 and 12 Datta et al. teach a method for identifying one or more items further comprising assigning a label (class, descriptor, text, name, tag, etc.) to the plurality of items using at least one symbolic value from the at least one of the item means ("Learning Multiple Prototypes", Column 1, Page 4; "K-Means Clustering", Columns 1-2, Page 4).

Regarding Claims 5 and 13 Datta et al. teach a system and method for identifying one or more items wherein the plurality of items are a cluster (grouping, collection, set, etc.) of similar items ("K-Means Clustering", Columns 1-2, Page 4; Figures 1a, 1b).

Regarding Claims 6-8 Datta et al. teach a method for identifying one or more items as discussed above.

Datta et al. is silent on the exact nature of the items being identified/classified and as such does not expressly teach that the items are programs, content or products as claimed.

Official notice is taken that classifying/identifying items such as television programs, content and/or products using of well-known pattern-recognition methods including but not limited to: value difference measures/metrics, nearest-neighbor,

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classifiers, similarity/instance-based methods, lazy learning, or the like, is old and very well known wherein these methods/systems are utilized for things such as recommending items to users.

It would have been obvious to one skilled in the art at the time of the invention that the method for identifying one or more mean items for a plurality of items as taught by Datta et al. would have been utilized to identify/classify any of a plurality of items including but not limited to programs, products and/or content in view of the teachings of official notice.

Further it is noted that while Datta et al. does not expressly teach the specific nature of the items (programs, content, products, etc.) as recited in claims 6-8; these differences are only found in the non-functional descriptive material and are not functionally involved in the steps recited nor do they alter the recited structural elements. The recited method steps would be performed the same regardless of the specific nature of the items being identified/classified. Further, the structural elements remain the same regardless of the specific nature of the items being identified/classified. Thus, this descriptive material will not distinguish the claimed invention from the prior art in terms of patentability, see In re Gulack, 703 F.2d 1381, 1385, 217 USPQ 401, 404 (Fed. Cir. 1983); In re Lowry, 32 F.3d 1579, 32 USPQ2d 1031 (Fed. Cir. 1994); MPEP 2106.

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Regarding Claims 9, 15 and 21 Datt et al. teach a system and method for partitioning a plurality of items by identifying one or more items wherein the variance (distance, difference, similarity measure, etc.) is computed as follows:

$$Var(J) = \sum_{i \in J} (xi - xu)^2$$

where J is a cluster of items from the same class,  $x_i$  is a symbolic feature value from item i and  $x_u$  is an attribute value from one of the items in J such that it minimizes Var(J) ("The Mean of Symbolic Attributes", Column 2, Page 2).

Regarding Claims 16 and 22-23 Datta et al. teach a method for partitioning a plurality of items by identifying one or more mean items for a plurality of items, J, each of the items having at least one symbolic attribute (feature, characteristic, etc.), each symbolic attribute having at least one possible value and further comprising:

- computing (determining, calculating, etc.) a variance (distance, difference, etc.) of the plurality of items, J, for each of the possible symbolic values, x<sub>u</sub>, for each of the symbolic attributes ("Distances between Symbolic Attribute Values", Columns 2-3, Page 2);
- selecting for each of the symbolic attributes (item features/characteristics) at least one symbolic value,  $x_u$ , that minimizes the variance as the mean symbolic value ("The Mean of Symbolic Attributes", Column 2, Page 2); and
- wherein for at least one cluster a given symbolic attribute has more than one value (Column 1, Last Paragraph, Page 2; "The Mean of Symbolic Attributes", Column 2, Page 2).

Datta et al. does not expressly teach that for at least one cluster a given symbolic attribute has more than one value such that more than one mean symbolic value is determined for that symbolic attribute as claimed.

Datta/Kibler teach that for at least one cluster a given symbolic attribute has more than one value such that more than one mean symbolic value is determined for that symbolic attribute (determining a mean for each symbolic attribute creating a prototype for the cluster/class/group; Last Paragraph, Page 3; Paragraphs 1-3, Page 4; i.e. "represent a cluster by only one program, but rather, multiple programs the represent the mean or multiple means may be employed to represent the cluster. Thus, in a further variation, a cluster may be represented by multiple means or multiple feature values for each possible feature.", Paragraph 0052 of the published application, U.S. 2003/0097186) in an analogous art of partitioning a plurality of items into clusters utilizing one or more mean items for the purposes of learning more than one prototype for each class (cluster, group, category, etc.; Paragraph 2, Page 2) and/or determining a "more robust" distance measures between symbolic values (Paragraph 2, Page 4).

It would have been obvious to one skilled in the art at the time of the invention that the method for partitioning a plurality of items into clusters by identifying one or more mean items for a plurality of items having at least one symbolic value as taught by Datta et al. would have benefited from utilizing more than one value for a symbolic

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attribute such that more than one mean symbolic value is determined for the symbolic attribute in view of the teachings of Datta/Kibler; the resultant method purposes of learning more than one prototype for each class (cluster, group, category, etc.; Datta/Kibler: Paragraph 2, Page 2) and/or determining a "more robust" distance measures between symbolic values (Datta/Kibler: Paragraph 2, Page 4).

While Datta et al. teach a *method* for identifying one or more mean items for a plurality of items Datta et al. does not expressly teach that a *system* and/or article of manufacture is utilized to perform/execute the method as claimed.

It was known at the time of the invention that merely providing an automatic means to replace a manual activity which accomplishes the same result is not sufficient to distinguish over the prior art, In re Venner, 262 F.2d 91, 95, 120 USPQ 193, 194 (CCPA 1958). For example, simply automating the step(s) of computing a variance and selecting for each symbolic attribute a symbolic value gives you just what you would expect from the manual step as shown in Datta et al. In other words there is no enhancement found in the claimed steps. The claimed system only provides automation for the manual activity. The end result is the same as compared to the manual method. A computer can simply iterate the steps faster. The result is the same.

It would have been obvious to a person of ordinary still in the art at the time of the invention to automate the method for identifying one or more mean items for a

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plurality of items as taught by the combination of Datta et al. and Datta/Kibler; the resultant system/method being capable of performing the methods steps faster and/or more efficiently, which is purely known, and an expected result from automation of what is known in the art.

Regarding Claim 17 Datta et al. teach a method for identifying one or more mean items wherein the mean symbolic value for each symbolic attribute comprising a mean of the plurality of items ("The Mean of Symbolic Attributes", Column 2, Page 2).

Regarding Claim 18 Datta et al. teach a method for identifying one or more mean items wherein the symbolic attributes comprises one or more hypothetical items (tentative, potential, probable, projected, sample, test, example, training, etc.; Column 2, Paragraph 1, Page 2; "Learning Multiple Prototypes", Column 1, Page 4).

Regarding Claim 19 Datta et al. teach a method for identifying one or more items further comprising assigning a label (class, descriptor, text, name, tag, etc.) to the plurality of items using at least one symbolic value from the at least one of the item means ("Learning Multiple Prototypes", Column 1, Page 4; "K-Means Clustering", Columns 1-2, Page 4).

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Regarding Claim 20 Datta et al. teach a method for identifying one or more items wherein the plurality of items are a cluster (grouping, collection, set, etc.) of similar items ("K-Means Clustering", Columns 1-2, Page 4; Figures 1a, 1b).

Regarding Claim 21 Datta et al. teach a method for identifying one or more items wherein the variance is computed as follows:

$$Var(J) = \sum_{i \in J} (xi - xu)^2$$

where J is a cluster of items from the same class,  $x_i$  is a symbolic feature value from item i and  $x_u$  is an attribute value from one of the items in J such that it minimizes Var(J) ("The Mean of Symbolic Attributes", Column 2, Page 2).

#### Conclusion

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

- Zhang et al., U.S. Patent No. 5,832,182, teach a feature-based clustering system and method for partitioning a plurality of metric and non-metric (symbolic) attributes wherein the clusters include multiple centroids.
- Chislenko et al., U.S. Patent No. 6,041,311, teach a system and method for recommending items to users comprising user preference information and feature-based clustering wherein the cluster include mean items.

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- Guha et al., U.S. Patent No. 6,049,797, teach a system and method for partitioning a plurality of items into clusters of similar items by identifying one or more similarity measures (distances, centroids, etc.) wherein the items have at least one symbolic (categorical) attribute/value.

- Martin et al., U.S. Patent No. 6,260,038, teach a system and method for partitioning a plurality of items into clusters of similar items by identifying one or more similarity measures (mean, distance, etc.) including one or more means of symbolic (categorical), binary and numeric attributes.
- Fayyad et al., U.S. Patent No. 6,581,058, teach a feature-based clustering system and method for partitioning (segmenting) a plurality of items into clusters of similar items by identifying one or more similarity measures (mean) for symbolic and discrete attributes.
- Zhang et al., U.S. Patent No. 6,584,433, teach a system and method for feature based clustering wherein the clusters have multiple center points.
- Kleinberger et al., U.S. Patent No. 7,072,902, teach a feature based clustering system and method.
- Gutta et al., U.S. Patent Publication No. 2003/0014404, teach a feature based clustering system and method for recommending items to users based on nearest neighbors.
- Ismail et al., WO 01/17250, teach a system and method for recommending television programs based on viewer viewing habits (watching preferences) and demographics.

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- Gowda et al., Symbolic Clustering Using a New Similarity Measure (1992) teaches a well known method for partitioning a plurality of items into clusters of similar items by identifying one or more means items for a plurality of items having at least one symbolic value.

- Ehrmantraut et al., The Personal Electronic Program Guide (1996), teach a system and method for recommending television programs to users based on a plurality of program descriptors (features, symbolic attributes) and viewer viewing preferences (user profiles).
- Jain, A.K. et al., Data Clustering: A Review (1999), teach a plurality of well known methods/systems for partitioning a plurality of items into clusters of similar items by identifying one or more means, distance measures and the like for each of the plurality of items wherein at least one of the items has symbolic attributes/values.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Scott L. Jarrett whose telephone number is (571) 272-7033. The examiner can normally be reached on Monday-Friday, 8:00AM - 5:00PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Hafiz Tariq can be reached on (571) 272-6729. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

10/5/2006